

## I. SUBMISSION OF BASIC RESEARCH PROPOSALS FOR GRANTS

### General

This guide sets forth information which initiating scientists and prospective grantees may find helpful in preparing their requests for Department of Defense support. Suggestions as to form and procedures have also been included, since some uniformity will facilitate consideration of proposals.

### Who May Submit

The Department of Defense considers requests for the support of basic research from non-profit institutions of higher education and non-profit organizations whose primary purpose is the conduct of scientific research. However, as a formal proposal is in most instances submitted by an organization on behalf of the principal investigator, research proposals normally are initiated by the scientist interested in doing the work, and if desired may, prior to formal submission, be the subject of informal discussions between the scientists and the Department of Defense staff, either by letter or in person.

### When to Submit

Research proposals may be submitted at any time. Because of the nature of the program, the review and approval process, and statutory requirements, several months normally elapse between the receipt of a proposal and the issuance of a grant. The organization and the principal investigator will be notified of the decision regarding their proposal as soon as possible.

Where to Submit

Proposals should be addressed to

(Address of Department of Defense Agency)

If desired, they may be addressed to the attention of the concerned)

appropriate program director. Receipt of a proposal will be acknowledged.

What to Submit

While no rigid form is specified, proposals should cover the points enumerated below, insofar as they may be applicable. The receipt of (5) (this number may be changed to meet the needs of the agency involved) copies of the proposal will greatly facilitate its review and evaluation.

Name and Address of Institution

The name and address of the prospective grantee organization should be provided. Where the legal or corporate designation of the organization is different from the popular or commonly used designation, the legal designation should be used.

Title of Proposed Research

The title of the proposed research should be brief but properly descriptive.

Desired Starting Date of the Research

This information is of value to our staff in scheduling reviews, program planning, etc. Alternate starting dates may be specified, taking into account the time required for evaluation and review.

Time Period for Which Support is Requested

The length of time for which support is being requested should be consistent with the nature and complexity of the proposed research, up to a maximum of 5 years. The practice of applying for a short period with the

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plan of requesting additional support at a later date is not recommended,  
since, as a rule, each request for additional support is considered by the  
Department of Defense as a new proposal and is handled as such.

Description of Proposed Research

A brief abstract describing the proposed research is requested. In addition, a more detailed description of the work to be undertaken, its objectives and its relation to the present state of knowledge in the field and to comparable work in progress elsewhere, together with a bibliography of pertinent literature citations should be provided. The appraisal by Department of Defense advisers and staff members as to the scientific merit of the proposed research will be influenced by the adequacy of this information. The Department of Defense is of course aware that research plans cannot be spelled out in too great detail in advance.

Facilities

Available facilities and major items of equipment especially adapted or suited to the proposed research should be mentioned.

Personnel

It is expected that the principal investigator will be responsible for direct supervision of the work and in most instances will participate in the conduct of the research regardless of whether or not he is to receive any compensation from the grant funds.

A short biographical sketch of the principal investigator and a list of his principal publications should be included along with similar biographical information on other senior professional personnel who will be directly associated with the project. If applicable, the number of student

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or other assistants, together with the names and titles of academic attainment, should be listed. If desired, the names and titles of other scientific and technical personnel indirectly associated with the project in an advisory or consulting capacity may be shown.

Budget

The Budget estimate for each research proposal reflects the magnitude and scope of the research work contemplated by the principal investigator and indicates the physical means by which he intends to accomplish the proposed research. In order that the Department of Defense may assess realistically the financial requirements of the research, it is requested that an estimate of the total cost of the project, with an estimated breakdown of costs per year, be submitted. Parts 2 and 3 of Section XV of Armed Services Procurement Regulation (Bureau of Budget Circular A21 for educational institutions) provide principles for determining specific allowable and unallowable costs. Funds requested from the Department of Defense should be indicated for each of the categories listed below. Contributions that other sources will make to the research should be listed in similar categories. Funds may be requested under any of the following categories so long as the item is necessary to the conduct of the proposed research.

Salaries.--This item should include a list of personnel; percentage of time each will devote to the research; present salary, rate of pay or stipend for each; and a total amount for salaries per year to be paid from the grant to each.

Where appropriate, funds may be requested for the purpose of defraying some portion or all of the salaries of personnel who will work in the research. The extent of such compensation from grant funds will depend on the degree to

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the grantee institution under a  
comparable to  
monthly rate of compensation for work during  
the summer.

When and until grant funds are to be charged against  
the grant, it is anticipated that the grantor will pay a comparable portion of  
his teaching or other obligations. Grant funds may not be used to increase  
the monthly rate of compensation of staff members.

Permanent Equipment--Itemize major items of equipment required. Title  
to equipment purchased with grant funds may vest in the grantee institution.

Expendable Equipment and Supplies--Indicate in general terms the types  
of equipment and supplies that will be required.

Travel--Indicate briefly the type, frequency, and applicability of  
travel to the research.

Publication Costs--Indicate briefly any types of publication costs  
anticipated, including purchase of reprints.

Other Direct Costs--Itemize other anticipated direct costs not included  
above.

Indirect Costs--Suggest a rate for allowable indirect costs based on  
the principles set forth in Part II, Chapter 1, as appropriate, of Section XV of  
ASPR, taking into account previous research contract expenses where relevant.  
This rate will be subject to further discussion with Department of Defense  
representatives before the grant is made. An established rate may be revised  
for subsequent grants at the request of the grantee or grantor. Institutions  
not having information on which to base a suggested indirect cost rate may  
request determination of such a rate at the time the proposal is submitted.

Total.--Give totals of all costs by years and a grant total as well.

Other Sponsors

State whether (and if so, to whom) the proposal has been submitted to other possible sponsors, in whole or in part, including other Federal agencies.

Indicate also any present sponsors of any portion of the program outlined in the proposal. The submission of a proposal to other organizations concurrently with its submission to the Department of Defense will not prejudice its review by the Department of Defense. This information, together with data exchanged regularly among Federal agencies sponsoring basic research, contributes materially to planning for the optimum distribution of Federal funds available for the support of scientific research.

Approval

One copy of the proposal should be signed by the principal investigator, by the department head, and by an official authorized to sign for the institution. All copies of the proposal should indicate persons, with titles, who have signed the original of the proposal.

Requests for Continued Support

The Department of Defense will consider requests for continued support in equal competition with all other proposals pending in the Department of Defense at the time of such a request. Consequently, these requests should contain the same information as any other proposal in addition to a resume of progress to date. The same amount of time for review and evaluation will be required and such requests should be submitted 4 to 6 months in advance of the anticipated termination date of the original grant if the investigator and the institution are desirous of uninterrupted support.

II. ADMINISTRATION OF RESEARCH GRANTS

General

The Department of Defense assumes that, once a grant is made, the principal investigator, operating within the policies of the grantee institution, is in the best position to determine the means by which the research may be conducted most effectively. Accordingly, the primary responsibility for the administration of any grant is one that is shared by the grantee and the principal investigator. The Department of Defense wishes to avoid any action which might diminish the responsibility of the grantee and the investigator for making sound scientific and administrative judgments. Grantees and investigators are encouraged to seek the advice and opinions of the Department of Defense on problems that may arise. Unless otherwise stated, the giving of such advice should not imply that the responsibility for final decisions has shifted to the Department of Defense. The primary concern of the Department of Defense is that granted funds be used in a manner which will make a maximum contribution to the progress of science--and it is expected that grantees and investigators will also direct their efforts to this end.

Grant Agreement

A Department of Defense grant is consummated by an agreement signed by a Department of Defense Contracting Officer and the Grantee. Normally this agreement will contain a minimum of express conditions which upon acceptance of the grant will bind the grantee. These conditions may relate to the general nature and scope of the research, revocation of the grant, and patent

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rights. The simplicity of the Department of Defense grant does not preclude the possibility of collateral understandings and informal agreements which may, in special instances, accompany the formal grant or accumulate, as the occasion demands, during the life of the grant.

The grant will be addressed to the Business Office of the institution to which the grant is made.

#### Grant Period

Normally, Department of Defense grants are made for periods up to 5 years. As stated in the grant instrument the period is approximate; beginning and ending dates are not specified. The grant period begins approximately on the date of the grant and extends for approximately the length of time specified. However, when progress of research under the grant is delayed and circumstances make it necessary to request an extension of the grant period without additional funds, it is the policy of the Department of Defense to permit extensions in time, upon written request.

Where it appears that the research contemplated will be completed within a reasonably short period of time after the approximate ending date, it will not be necessary to request an extension. However, if it appears that the time required will exceed 4 to 6 months, it is requested that the Department of Defense be informed and an extension requested.

#### Grant Payments

Payments will be made in advance in a lump sum payment or on a periodic basis, depending on the relative size of the total grant and the estimated timing of financial requirements. The schedule of payments will be set forth

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in the grant instrument. No vouchers for payment need be submitted by the grantee inasmuch as payments will be made automatically by the Department of Defense in accordance with this schedule. The Department of Defense will at any time be glad to consider a request initiated by the grantee or the principal investigator for a revised schedule.

#### Adherence to Original Budget Estimates

The Department of Defense believes that the principal investigator, operating within the established policies of the grantee institution, is the individual best qualified to determine the manner in which the grant funds may be used most effectively to accomplish the proposed research. Therefore, once the grant has been made, the investigator and the institution are free to spend the funds for the proposed research without strict adherence to the original budget estimates. However, the Department of Defense will appreciate being kept informed of contemplated major deviations from the budget estimates and the reasons therefor.

#### Grant Reports

#### Technical Reports

An informal annual report submitted in accordance with instructions from the Department of Defense's appropriate program director, and a more comprehensive report at the expiration (or revocation) of the grant are required. When the grant is for a period of 1 year or less, only a final report is required. It is requested that the final report contain a chronological bibliography of all publications resulting from the work aided by the grant. Six reprints of each publication should be provided as soon as such reprints become available and where appropriate may be submitted in lieu of annual reports. The Department of Defense would appreciate being informed of any results of unusual interest whenever they occur.

Fiscal Reports

A final fiscal report for information purposes is required for each grant. Report forms for this purpose are forwarded to the business office of the grantee institution together with the copy of the grant instrument. Additional forms may be requested. Two copies of the final fiscal report should be forwarded to the grantor agency after work under the grant has been completed.

Equipment

Title to equipment purchased with grant funds may vest in the grantee institution.

Security

As a general rule, it is not anticipated that investigators will need access to classified security information in the conduct of basic research supported by the Department of Defense. In exceptional cases where it appears that access to such information is desirable investigators should request clearance. When, in the judgment of the principal investigator, information is developed that should be classified, he should notify the Department of Defense immediately.

Patents

Disposition of patent and other rights in any inventions or discoveries made or conceived during the research shall be the responsibility of the grantee; the grantee shall give the Department of Defense reasonable notice of application by the grantee or other person or institution for a foreign or domestic patent on any such invention or discovery; and upon issue of any patent on any such invention or discovery, the patentee shall grant the Government an irrevocable, royalty-free, nonexclusive license for use of such invention or discovery for governmental purposes.

Acknowledgment

An appropriate acknowledgment of Department of Defense support may be made in publications based on work aided by the Department of Defense.

Revocation of Grants

Department of Defense grants may be revoked in whole or in part by the Department of Defense after consultation and agreement with the principal investigator and the grantee, except that a revocation shall not affect any financial commitment, which in the judgment of the Department of Defense and the grantee, had become firm prior to the effective date of the revocation. Upon revocation, the grantee shall reduce, insofar as is possible, the amount of outstanding commitments and repay to the Department of Defense, by check made payable to the Treasurer of the United States, the uncommitted balance of all funds which shall have been paid to the grantee by the Department of Defense under the terms of the particular grant concerned.

The grantee shall communicate with the Department of Defense whenever, in the opinion of the grantee, there is reason to believe that circumstances may necessitate revocation. It is expected that the most common cause for revocation will be the inability of the grantee to carry out the research for which the grant is made, or to adhere to the other conditions set forth in the grant instrument. As a general rule, the availability of the services of the principal investigator named in the grant instrument is one of the conditions of the grant. Consequently, the Department of Defense should be informed immediately whenever it appears that the principal investigator will find it impossible to continue to direct the research.

#### Transfer of Grants to Other Institutions

When the principal investigator changes his organizational affiliation and desires support for his research at his new location, he must submit a new proposal via the appropriate officials of the new institution. Although such proposals will be reviewed in the normal manner every effort will be made to expedite a decision. Regardless of the action taken on the new proposal, final reports on the original grant, describing scientific progress and expenditure to date, will be required.

#### Grants for Continued Support

When a proposal requesting continued support for research previously supported by the Department of Defense is approved, a new grant will be activated. Although special arrangements for voiding the requirement for a final technical report on the original grant may be made, it will be necessary for the grantee to submit a final fiscal report. Normally if the funds for the second grant are received prior to the time that the funds from the first grant are exhausted, work under the first grant should be considered completed on the day when funds are fully expended or committed. Likewise, work under the second grant should be considered as beginning on the day following. New accounts should be established for the second grant in order that the recording and reporting of expenditures may be segregated.

#### Accounting Procedures

While no particular classification of accounts is required, it is expected that grantees will maintain records for each grant, in accordance with generally accepted accounting practices, that will permit preparation of the required fiscal report.

ATTACHMENT I

Department of Defense

Washington 25, D. C.

19

(Name and address of the  
institution, i.e., grantee)

Research Grant # \_\_\_\_\_

The sum of \$ \_\_\_\_\_ is hereby granted by the Department of  
Defense to \_\_\_\_\_, for the support of research  
(Name of Institution)  
entitled " \_\_\_\_\_" under the direction of  
(Title of Proposed Research)

(Name of Principal Investigator) \_\_\_\_\_ (Name of Department)  
for a period of approximately \_\_\_\_\_ year(s). Until further notice this  
grant will be paid as follows: \$ \_\_\_\_\_ on or about \_\_\_\_\_,  
19\_\_\_\_; and \$ \_\_\_\_\_ on or about \_\_\_\_\_, 19\_\_\_\_; and \$ \_\_\_\_\_  
on or about \_\_\_\_\_, 19\_\_\_\_. (This grant will be paid on or about  
\_\_\_\_\_, 19\_\_\_\_, in full.)

Title to all equipment purchased with funds supplied herewith  
shall be deemed to have vested irrevocably in the grantee upon purchase  
(with the following exceptions)(with the following reservations). (If  
title to equipment purchased with grant funds is to be retained by the  
Government, the necessary provision should be made in accordance with  
the applicable parts of the Armed Services Procurement Regulation.)

It is a condition of this grant that it may be revoked in whole or  
in part by the Department of Defense after consultation and agreement  
with the principal investigator(s) and the grantee, except that a